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DELIVERABLE INFORMATION

TYPE OF DELIVERABLE:	<input checked="" type="checkbox"/> Payable <input type="checkbox"/> Non-Payable
CONTRACTOR:	Xerox
PROJECT NAME:	BOS
DELIVERABLE #:	5.4.3.4 D
DELIVERABLE TITLE:	Scope Management Plan
DUE DATE PER CONTRACT:	N/A

DELIVERABLE SUBMISSION AND REVIEW HISTORY

Deliverable Submission #	Date and Time Received From Contractor	Date Returned to Contractor	Notes / Comments
1	11/10/12 07:05 AM		
2		11/19/12 08:29 AM	Scope Management Plan returned with suggested revisions
3	11/27/12 10:35 AM		
4		11/28/12 11:50 AM	State accepts Scope Management Plan

STATE FINAL APPROVAL AND ACCEPTANCE OF DELIVERABLE

APPROVED BY:	SIGNATURE	DATE
Agency IT Lead:		
Agency Project Manager:	<i>Jon M. Hager</i>	11/28/12

Distribution	Original: Project Office - Agency Contract Monitor
	Copies: Contractor

Exchange Documentation and Finance Use

<input type="checkbox"/>	Scan Deliverable Acceptance Form & Deliverable Document into single document (naming convention is deliverable # and document name)
<input type="checkbox"/>	E-mail above scan to Xerox Team (Bill DeLange- bill.delange@xerox.com and Michelle Lashley- michelle.lashley@xerox.com)
<input type="checkbox"/>	Validate Cost; Post to Contract Log
<input type="checkbox"/>	RCVD Invoice and Process Payment (contact: Karen Robinson- karen.robinson@xerox.com)
<input type="checkbox"/>	Update online CALT and Exchange CALT File (If Applicable)

10. Scope Management Plan

10.1 Introduction

Scope Management defines the process and procedures for confirming, verifying, and controlling project scope. A clearly defined and managed scope promotes the ability to maintain its focus on achieving the project's goals. It serves as guidance for scope management process and defines the roles and responsibilities for stakeholders in those processes. By adhering to this process, the Silver State Health Insurance Exchange (Exchange) will improve their control of project scope, leading towards project completion on time and within budget.

In the context of the Exchange's technical solution, scope refers to both of the following:

- **Product Scope.** The functions and features that characterize the Business Operations Solution (BOS). The product scope is included in Chapter 6 of the Project Management Plan (PMP).
- **Project Scope.** The work that needs to be accomplished to deliver the BOS. The project scope is defined in Chapter 6 of the PMP.

10.1.1 Purpose

The Scope Management Plan defines the approach the Exchange will take to manage the project's scope throughout the duration of the project. The Scope Management Plan is created during the planning phase of the project and is considered a component of the PMP. Its intended audience is the project manager, project team, project sponsor, and any senior leaders whose support is needed to carry out the plan.

Key objectives of the Scope Management Plan are to:

- Establish a structured, repeatable scope management process to ensure the work performed by the project team is clearly within the established parameters.
- Ensure all project requirements are met, all changes to project requirements follow the change management process, and the project adheres to schedule and budget tolerances.

10.1.2 Scope

Scope management is conducted throughout the lifecycle of the project. It starts during project planning, which covers all areas of the project. All team members have the responsibility of identifying and understanding the scope of the project, as stated in the Project Scope section of the PMP. Other project documents also elaborate on scope, for example, the BOS vendor's contract includes specific scope to be performed by the vendor, whereas the Eligibility Rules Engine vendor's scope is detailed in a separate contractual document.

Scope management is specifically the process and steps that are used to identify, manage, and contain scope, as described in Sections 10.2 and 10.3 below. Scope management differs from change

management, in that change management is the specific steps to approve a change to the scope, whereas scope management includes the activities to identify, analyze and validate the current scope. Change management may often be considered a sub-component of scope management; however, as reflected in the Exchange's PMP, these are two separate steps and have two distinct PMP chapters.

For more information on the scope of the overall project, including the BOS and the Eligibility Rules Engine project, please see Chapter 6 of the Project Management Plan, Scope.

10.1.3 Definitions

The following is a list of terms and acronyms used in the Scope Management Plan.

Table 10-1: Scope Management Terms and Acronyms

#	Term/Acronym	Definition
1.	ACA	Affordable Care Act
2.	BOS	Business Operations Solution
3.	CCB	Change Control Board
4.	CR	Change Request
5.	DED	Deliverable Expectations Document
6.	DOORS	IBM Rational DOORS
7.	Exchange	Silver State Health Insurance Exchange
8.	IEEE	Institute of Electrical and Electronics Engineers
9.	IV&V	Independent Verification & Validation
10.	PMBOK	The Project Management Institute's Guide to the Project Management Body of Knowledge
11.	PMP	Project Management Plan
12.	RACS (or RAC)	Requirements and Configuration Sessions
13.	RFP	Request for Proposal
14.	RMP	Requirements Management Plan
15.	RSD	Requirements Specification Document
16.	RTM	Requirements Traceability Matrix (which will be developed in the IBM Rational DOORS software)
17.	RVR	Requirements Validation Review
18.	Scope	The body of work for a particular project, contract, or product.

#	Term/Acronym	Definition
19.	SDLC	System Development Life Cycle

10.1.4 Plan Contents

The Scope Management Plan includes the following sub-sections.

- Overview of the Scope Management Approach
- Detailed Scope Management Approach
- Roles and Responsibilities
- Applicable Tools and Methods

10.2 Overview of the Scope Management Approach

The Exchange's approach for scope management is based upon the Project Management Institute's Project Management Body of Knowledge (PMBOK) Guide. The approach utilizes an integrated project management concept whereby the Project Management Team and key stakeholders participate in identifying, assessing, responding to, monitoring, and controlling scope of both the product and project. The scope management activities are designed to effectively avoid or resolve changes to the product and project's scope, budget, and schedule. This scope management process informs the Project Managers of any potential impacts to the scope, schedule, budget, or other commitments throughout the project lifecycle.

Key components of the Exchange's scope management approach are illustrated in Figure 10-1 below.

Figure 10-1: Scope Management Approach Overview



10.3 Detailed Scope Management Approach

The Exchange is utilizing a comprehensive scope management approach to manage the BOS development and implementation project, as outlined below.

10.3.1 Plan and Confirm Scope

Scope management activities began during initial project conceptualization. For the Exchange, this included initial scope analysis, project planning, initial requirements development, and selection of a BOS vendor. The scope of the project was initially identified in the requirements identified for the BOS vendor and the Healthcare Reform Eligibility Rules Engine vendor; Chapter 6 of the PMP provides a statement of the project's scope. Additionally, scope planning also occurs throughout the System Development Life Cycle (SDLC), as the project enters and exits various phases.

Scope confirmation is generally completed during the project start-up phase, and is conducted as new project components, threads, or phases are initiated. Scope confirmation is an activity that takes place jointly between the Exchange, vendor staff, Independent Verification & Validation (IV&V) vendor, and others, led by the project managers. The objective of scope confirmation is to describe clearly in writing the scope of the project and accountability for tasks.

Key activities related to scope planning and confirmation includes:

- Reviewing preliminary and updated requirements of the Affordable Care Act (ACA) and its regulations to develop the Exchange's concept of operations
- Defining of initial requirements, for use in the procurement of a BOS vendor
- Developing and executing the BOS Request for Proposal (RFP)
- Contract negotiations with the BOS vendor
- Developing the project scoping document (Chapter 6 of the PMP)
- Establishing and communicating of project goals, objectives, and key project processes (e.g., change management, schedule management, etc.)
- Developing the project work breakdown structure and project tasks
- Creating a project work plan/schedule, including dependencies, timeframes, and responsible resources
- Developing entrance and exit criteria for each project phase
- Confirming the list of deliverables and milestones to be met by the project team
- Creating Deliverable Expectation Documents (DEDs) to document deliverable content, format, and acceptance criteria
- Developing planning and scoping documents, including issue and policy papers which help identify scope, strategy, and approach for major project activities.
- Conducting the Requirements Validation Review (RVR)

- Establishing baseline functional and technical requirements, as documented in the Requirements Traceability Matrix (RTM)

10.3.2 Monitor and Control Scope

The objective of monitoring and controlling scope is to manage activities that can alter one or more aspects of the project scope, including schedule, deliverables, functionality, or budget. Once these items are mutually agreed upon and approved by the Exchange and the BOS vendor, these items are baselined and are only modified if the Steering Committee (which will perform the function of a typical Change Control Board (CCB)) has approved a Change Request (CR) (note: Chapter 22 of the PMP describes the detailed change request/approval process).

A critical element of project scope control is reaching an agreement on the finalized list of deliverables, as well as their format and content, which are defined in the Deliverable Expectation Documents. Another important element of managing scope is tracking and managing functional and technical requirements, throughout the project's life cycle. This process will help to ensure that the scope remains within the agreed upon boundaries and that appropriate changes are approved. As defined in the Requirements Management Plan (Chapter 25 of the PMP), requirements are tracked through a robust requirements management process, which includes the use of a RTM and a change control process.

Key activities related to scope monitoring and control include:

- Reviewing project financial statements and progress against the expected budget
- Conducting the Requirement and Configuration Sessions (RACS), and maintaining the focus on limited modifications
- Monitoring the baseline requirements and deviations from the requirements
- Identifying, assessing, and reviewing potential changes to functional and technical requirements during the SDLC
- Developing the Requirements Management Plan (RMP)
- Developing the Requirement Specification Document (RSD)
- Identifying, assessing, and mitigating project risks and issues
- Establishing processes to measure and verify key metrics on to verify to the project's progress
- Monitoring the project schedule and reviewing progress against the baseline project schedule
- Facilitating the change management process, including the change identification, change request, analysis of impact, and change order steps
- Monitoring changes in federal and state legislation, regulations and other requirements

- Conducting regularly scheduled project status meetings to review progress
- Developing a regularly scheduled project status report
- Conducting lessons learned and other activities to help identify opportunities to improve project processes

10.3.3 Close Scope Processes

Scope processes are considered closed when all deliverables identified in the project schedule have been approved (as applicable) by the Exchange, and as other subsequent steps (e.g., distribution of approved deliverable, archiving of hard and soft copies) has been completed, and when all major milestones have been met.

10.4 Roles and Responsibilities

The following table identifies the roles and responsibilities related to the Scope Management Process.

Table 10-2: Scope Management Roles and Responsibilities

#	Role	Description
1.	Xerox Executive Account Manager & Project Manager	<ul style="list-style-type: none"> • Responsible for ensuring the scope management function is in place to manage the definition, traceability, maintenance, and modification of project requirements. • Responsible for ensuring that scope management activities are conducted according to the process documented in this plan. • Reviews initial project scope as documented in the Project Contract. Reviews and approves changes to project scope when dictated by the change management process. • Meet with IV&V, Quality Management, and other quality teams to discuss results of reviews. • Facilitates change requests/orders. • Leads and facilitates meetings related to change management processes, including the change control board meetings. • Manages and resolve issues. • Manages deliverable review and acceptance process. • Directs the team to analyze impacts to scope.
2.	Xerox PMO	<ul style="list-style-type: none"> • Develops and facilitates internal project controls (e.g., status reports, status meetings, risk and issue log, schedule forecast, etc.). • Participates in the change request process. • Facilitates the deliverable management and approval process. • Establishes entrance and exit criteria. • Establishes approval criteria. • Establishes quality standards and metrics.

#	Role	Description
		<ul style="list-style-type: none"> Facilitates status and reporting meetings.
3.	Executive Steering Committee/Sponsors (Xerox and Exchange)	<ul style="list-style-type: none"> Participates in executive status meetings. Participates in relevant QA meetings or reviews. Manage and resolve issues. Receives recommendations from project management. Provides recommendations and feedback to project management. Approves and provides guidance and direction to the project team regarding change requests and orders. Sets strategic vision. Identifies resources, sets priorities, and resolves issues that could not be resolved at lower level. Monitors progress and status. Makes timely decisions. Addresses resource needs and concerns.
4.	Xerox Team Leads (e.g., Implementation Lead, Technical Lead)	<ul style="list-style-type: none"> Participate in Peer reviews. Participate in RVR, RAC, and other sessions. Provides support and staffing to develop the deliverables. Participates in scheduled peer reviews. Compiles team status. Leads project track/thread status meetings. Participates in work stream lead and project management meetings. Manages and resolve action items. Escalates open points to issue log. Performs validation activities. Provides guidance and feedback to project team members regarding quality of work products, activities, and deliverables.
5.	Exchange Chief Operating Officer (COO) and Staff	<ul style="list-style-type: none"> Responsible for ensuring the scope management function is in place to manage the definition, traceability, maintenance, and modification of project requirements. Validates requirements of solution and project. Provides input and guidance on the direction of the overall solution and project. Provides feedback on documentation. Reviews formally submitted deliverables and determines approval for accepted deliverables. Approves final deliverables. Identifies issues, risks and change requests specific to project work stream and key project management processes. Participates in the Change Control Board and Change

#	Role	Description
		Management Processes and approves changes in project scope.
6.	Independent Verification and Validation (IV&V) Vendor	<ul style="list-style-type: none"> Conducts period reviews of technical aspects of the project. Identifies findings, deficiencies, and recommendations for remediation. Recommends corrective actions to the project sponsor and project management.

10.5 Applicable Tools and Methods

The following table (Table 10-3) identifies the applicable tools and methods that will be used to manage the project's scope.

Table 10-3: Scope Management Tools and Methods

#	Tool/Method	Description
1.	Microsoft Project	This tool is used for managing the overall schedule of the project, by tracking detailed tasks, responsible parties, percentage complete, and dependencies.
2.	SharePoint	SharePoint is used for storage and delivery of draft and final scope artifacts (including generated traceability matrices, the Project Work Plan, and the Project Contract).
3.	IBM DOORS	The Requirements Traceability database, which will be used by the Xerox Team to track requirements and produce an initial and subsequent Requirements Traceability Matrices.

10.6 Applicable Standards

The following section identifies the applicable standards applied to the requirements management process for the Exchange.

- **IEEE Std 1058-1998.** IEEE Standard for Software Project Management Plans. This standard describes the format and contents of a software project management plan.
- **IEEE Std 1220-2005.** IEEE Standard for the Application and Management of the Systems Engineering Process. This standard describes the systems engineering activities and process required throughout a system's life cycle to develop systems meeting customer needs, requirements, and constraints.
- **PMBOK, Chapter 5 – Scope Management.** This chapter of PMBOK discusses processes, approaches, and tools used to collect and manage requirements as part of the broader scope management process.